1fw

PTO/SB/21 (09-04) Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE the Paper Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. **Application Number** 10/727,418 TRANSMITTAL Filing Date December 4, 2003 FORM First Named Inventor NANGALIA, Rishi Art Unit 3621 (to be used for all correspondence after initial filing) **Examiner Name** Cangialosi, Salvatore A. Attorney Docket Number Total Number of Pages in This Submission G08.071 **ENCLOSURES** (Check all that apply) After Allowance communication to (TC) Fee Transmittal Form Drawing(s) Licensing-related Papers Appeal Communication to Board of Fee Attached Appeals and Interferences Appeal Communication to TC Amendment / Reply Petition (Appeal Notice, Brief, Reply Brief) Petition to Convert to a After Final **Proprietary Information** Provisional Application Power of Attorney, Revocation Affidavits/declaration(s) Status Letter Change of Correspondence Address Other Enclosure(s) (please identify below): Form PTO 1449, copy of **Terminal Disclaimer** Extension of Time Request Request for Refund International Search Report, and Express Abandonment Request Acknowledgement Postcard. Information Disclosure CD, Number of CD(s) Statement Landscape Table on CD Certified Copy of Priority Document(s) Remarks Reply to Missing Parts/ Incomplete Application Reply to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm Name Buckley, Maschoff & Talwalkar LLC

Date	April 42, 2005	neg. No. 34,80	O
	CERTIFICATE O	F TRANSMISSION/MAILING	
I hereby certify that sufficient postage as 22313-1450 on the d	this correspondence is being facsimile transmit is first class mail in an envelope addressed to: that shown below.	tted to the USPTO or deposited with the Unito Mail Stop Amendment, Commissioner for Pater	ed States Postal Service with nts, P.O. Box 1450, Alexandria, VA
Signature	Edith Hot		
Typed or printed na	me Edith Martin	Date	April <b>22</b> , 2005

Bog No. 24 960

Signature
Printed name

Nathaniel Levin

4 11 -2 0005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. In you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Attorney Docket No.: G08.071





## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Group Art Unit: 2661
)
Examiner: Cangialosi, Salvatore A.

Applicants: NANGALIA et al.

Application No.: 10/727,418

Filing Date: December 4, 2003

For: METHODS AND APPARATUS FOR ROUTING SECURITIES ORDERS

ROUTING SECURITIES ORDERS

Buckley, Maschoff & Talwalkar LLC

Five Elm Street

New Canaan, CT 06840

**CERTIFICATE OF MAILING UNDER 37 CFR 1.8** 

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on April 22, 2005.

1430, on April 22, 2003.

Dated: April 22 2005

Edith Martin

Mail Stop Amendment Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

Applicants submit herewith patents, publications or other information of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a thorough search has been made, an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. Nor shall the filing of this information disclosure statement be construed as an admission against interest in any manner.

This Information Disclosure Statement is filed in accordance with 37 CFR §§1.56, 1.97 and 1.98. The items listed on the accompanying Form PTO-1449 may be deemed to be pertinent to the above-

Attorney Docket No.: G08.071

identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items listed on the enclosed copy of Form PTO-1449 and to independently ascertain their teaching.

The items listed herein were cited in a April 20, 2005 International Search Report received in a counterpart foreign application. A copy of the Search Report is enclosed. No fee is believed to be due under 37 CFR §1.17(p) for this Information Disclosure Statement since it is being filed not more than three months after the information contained herein was first cited in a counterpart foreign application.

Respectfully submitted,

April 12, 2005

Nathaniel Levin

Registration No. 34,860

Buckley, Maschoff & Talwalkar LLC

Five Elm Street

New Canaan, CT 06840

(203) 972-3460

Attorney Docket No.: G08.071

Complete if Known Strostitute for form 1449A/PTO **Application Number** 10/727,418 **SUPPLEMENTAL INFORMATION Filing Date** December 4, 2003 **DISCLOSURE STATEMENT BY APPLICANT** NANGALIA, Rishi **First Named Inventor** Group Art Unit 3621 (use as many sheets as necessary) **Examiner Name** Cangialosi, Salvatore A. 1 1 Attorney Docket Number of G08.071 Sheet

U.S. PATENT DOCUMENTS							
Examiner Initials*	Cite No.1	U.S. Patent Document Kind Code <sup>2</sup> Number (if known)		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
	A	5,101,353	l	Lupien et al.	03/31/1992		
	В	2002/0010672	A1	Waelbroeck et al.	01/24/2002		
	С	2002/0052827	Al	Waelbroeck et al.	05/02/2002		
					<del></del>		
<u>.</u>			ļ				
				<u> </u>			
			† · · · · · · · · · · · · · · · · · · ·				

	FOREIGN PATENT DOCUMENTS								
Examiner Initials*		Foreign Patent Document				Date of Publication of	Pages, Columns, Lines,		
	Cite No.	Office <sup>3</sup>	Number⁴	Kind Code <sup>5</sup> ( <i>if known</i> )	Name of Patentee or Applicant of Cited Document	Cited Document MM-DD-YYYY	Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>	
							<del> </del>		
			······································						

Examiner	<del></del>	Date	
Signature		Considered	

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.